



FA POLICY:

TEMPLATE FOR A FA POLICY *(Title of Policy)*

Effective Date: *(date the policy can be used)*
Document Number: *(see document numbering convention)*
Revision Number: *(number of revisions since effective date)*
Next Review Date: *(1-, 2-, or 3- year beyond effective date)*

(Example of Policy follows. Please highlight blue text and delete prior to writing.)

1. POLICY PURPOSE

This policy and its supporting procedure establish a framework for deciding how documents are created in FA and how it is managed once created.

2. PERSONS AFFECTED

FA staff who develop, review, approve, and maintain documents must follow this policy.

3. EXCEPTIONS

Exceptions are FA documents that are part of other Laboratory-wide institutional documents.

EXAMPLES: The Bus Policy, which impacts all Lab employees and visitors, is an institutional policy and part of the Lab's Requirements and Policies Manual (RPM); Fire Protection Work Policies and Procedures, which guide safety at the Lab, are included in LBNL ES&H Manual (Publication 3000), Chapter 12.

4. POLICY STATEMENT

FA documents must be controlled to ensure they are accurate, current, appropriately available, and approved by authorized individuals in a manner reflecting the risks associated with improper management of the information.

The following controls are to be used in the management of FA documents.

1. Documents must be *uniquely identified* by at least a document number, revision number, effective date, and title.
2. Documents are subject to *change control*, which includes appropriate review and approval to certify new documents, ensure accuracy, and update the documents as necessary.
3. Documents are subject to *version control*, which encompasses distribution and availability of the most up-to-date approved version of a document to users, and appropriate disposition of obsolete and superseded documents to avoid their inadvertent use.
4. Documents are subject to *periodic review* to enable updating for currency, accuracy, and alignment with requirements and best practices.



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5. Line managers have responsibility for ensuring that persons affected by such changes are notified and provided the updated information in a timely fashion.

A specific subset of FA documents is the set of institutional documents, which include Laboratory-wide or multi-departmental policy and requirements and their related supporting procedures, programs, systems, plans, and so forth. These institutional documents reflect the Laboratory's implementation of requirements set forth by its contract with the Department of Energy and its relationship with the University of California. Process 10.06.001.001, *LBNL Document Management Process*, specifies management of documents and flows from the institutional policy.

5. ROLES AND RESPONSIBILITIES

The list below emphasizes the roles and responsibilities pertinent to only this procedure.

5.1 Functional Managers

- Identifying those documents that require document management
- Adopting and enforcing document-management processes that support the controls cited within this policy

5.2 FA Staff who develop, review, maintain, and approve FA documents

- Within their scope of responsibility, ensure implementation of document-management processes that support the controls cited within this policy
- Proactively contribute to improving document-management processes for efficiency and simplicity

5.3 Persons who use FA documents

- Proactively contribute to the improvement of documents for accuracy and currency, and of document-management processes for efficiency and simplicity

5.4 FA Requirements Management Program

- Within its scope of responsibility, ensures implementation of document-management processes that support the controls cited within this policy
- Proactively contributes to improving document-management processes for efficiency and simplicity

6. DEFINITIONS/ACRONYMS

TERM	DEFINITION
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Document	Written, visual, audio-, or video-recorded information stored in the form of hard copy, film, magnetic tape, electronic data, or in an online, Web-based format.
Document Information	Also referred to as document "metadata," and includes (but is not limited to) titles, document numbers, revision dates, and, for traceability, the related source requirements and implementing documents.
Document Management	A business-management process, like the FA AODocs Library, that ensures organizational access to current, reliable, and concise information. The document-management process includes document control, change control, configuration control, periodic review, and communication/distribution.
FA AODocs Library	The Facilities Division document management system in Google Drives.
Implementing Document	A document required to carry out a policy, process, procedure, system, or work instruction. Example: FA Document Management Procedure
Institutional Document	A publication authorized by Laboratory management that delineates Laboratory-wide or multifunctional policy, procedures, regulations, or plans. A subset of authoritative documents. Example: <i>Requirements and Policies Manual</i>
Policy	Statements or directives from the federal, state, or local government; the University of California; or PS senior management that set a course of action, define acceptable conduct, or implement governing principles. Example: Berkeley Lab Site Access
Procedure	A series of specific steps to be followed to accomplish work or to carry out a policy or requirement. Procedures are controls meant to mitigate risk, improve efficiency, or assure compliance. Examples: Obtaining a Berkeley Lab badge; Maintaining radio system
Requirement	A specific obligation to perform an action mandated by Berkeley Lab senior management or the University of California or the federal, state, or local government; or an obligation to comply with the Laboratory's contract with the U.S. Department of Energy.
Revision	The act of altering or modifying a document; the current document with approved changes. Revision (R) example R00 + changes equals R01.



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Version	An altered or modified document, which is the result of revising.
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7. RECORDKEEPING REQUIREMENTS

FA has responsibility for maintaining a master list of documents subject to control. The listed information includes, but is not limited to, the unique document identifiers, current publication/effective date and revision levels, and whether or not the document is considered a Laboratory record that requires archiving.

8. IMPLEMENTING DOCUMENTS

Document number	Title
	FA Document Management System – Procedure
	FA Document Numbering Convention and Examples
	FA Document Management System – Significance Rating
	FA Document Management System – Implementation Plan
10.06.001.001	<i>Managing Institutional Documents Process</i>
10.06.001.101	<i>Developing, Reviewing, Approving, Non-Policy Institutional Documents Procedure</i>
10.06.001.103	<i>Storing, Retrieving, Archiving Institutional Documents Procedure (tbd)</i>
10.06.001.202	<i>Policy Template & Information Form</i>
10.06.001.203	<i>Policy Approvals Form</i>
10.06.001.201	<i>Procedure, Program, System, Process Template (tbd)</i>
10.06.001.901	<i>Style Guide for Institutional Documents (tbd)</i>
04.04.001.201	<u>Analyzing Requirements and Analyzing Risks and impacts to Determine Significance Rating</u>

9. CONTACT

Requirements Manager



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10. REVISION HISTORY LOG

REVISION DATE	BRIEF DESCRIPTION OF CHANGES MADE	NAME OF PERSON MAKING CHANGES
10-1-17	New Policy	Laura Chen

11. POLICY APPROVALS

AUTHOR REVIEWER APPROVER	TITLE	NAME	SIGNATURE	DATE
Author	Requirements Manager	Laura Chen		
Reviewer	Assurance Manager	John Chernowski		
Approver	Business Services Dept Head	Jim Dahlgard		

12. APPENDICES